



KENTUCKY STATE UNIVERSITY

Policies and Regulations

REGULATION TITLE:

Principal Investigator Responsibilities

APPLIES TO:

All individuals serving as a principal investigator or co-principal investigator on externally funded sponsored projects

ADMINISTRATIVE AUTHORITY:

Office of Research & Innovation (ORI)

Sponsored Programs

Office of the Provost and Vice President of Academic & Student Affairs

APPROVED BY:

EFFECTIVE DATE:

NEXT REVIEW DATE:

REGULATION STATEMENT:

Accepting the role of a Principal Investigator (PI) on a sponsored project confers significant responsibility for the proper stewardship of external funds and adherence to the highest standards of academic and research integrity. The PI is ultimately accountable to both Kentucky State University (KSU) and the sponsoring agency for the successful execution of the project. This regulation outlines the core responsibilities of a PI throughout the lifecycle of a sponsored award.

DEFINITIONS:

Co-Principal Investigator (Co-PI)

An individual who shares significant scientific and administrative leadership of a sponsored project with the PI and is also bound by the responsibilities outlined in this regulation.

Principal Investigator (PI)

The individual with the primary responsibility for the overall scientific, technical, administrative, and financial leadership of a sponsored project. Where a project has Co-PIs, one PI must be designated as the lead PI for communication and administrative purposes.

PROCESS:

A. Core Responsibilities of a Principal Investigator

The PI is responsible for the overall management and success of the sponsored project. While specific tasks may be delegated, the PI retains ultimate accountability. These core responsibilities can be grouped into the following key areas:

Scientific and Programmatic Management:

- Conducting the project as described in the approved scope of work.
- Overseeing the work of the entire project team, including students, staff, and collaborators.
- Ensuring the timely completion of all project deliverables and milestones.
- Disseminating project results in accordance with scholarly and sponsor standards.

Financial Stewardship:

- Authorizing all project expenditures and ensuring they are allowable, allocable, and reasonable under sponsor and KSU guidelines.
- Monitoring the project budget to prevent cost overruns and ensure funds are spent in a timely manner.
- Reviewing and certifying all effort reports for personnel charged to the project.
- Working with the Office of Research & Innovation (ORI) to initiate any necessary post-award changes, such as budget revisions or no-cost extensions.

Compliance and Ethical Conduct:

- Adhering to all terms and conditions of the award agreement.
- Ensuring compliance with all applicable federal, state, and local regulations, as well as all KSU policies. This includes, but is not limited to, policies governing human subjects research (IRB), animal care and use (IACUC), financial conflicts of interest (FCOI), and research safety.
- Promoting the responsible conduct of research and ensuring all project personnel complete required training.

Personnel Management:

- Supervising all project staff, students, and collaborators.

- Providing appropriate training and mentorship to the project team.
- Ensuring that the roles, responsibilities, and contributions of all team members are clearly defined.

Reporting and Record-Keeping:

- Preparing and submitting all required technical and progress reports to the sponsor in a timely manner.
- Maintaining complete and accurate records of all project activities and data in accordance with KSU and sponsor record retention policies.
- Promptly disclosing any inventions or discoveries made in the course of the project to ORI.

B. Project Closeout

At the conclusion of a sponsored project, the PI is responsible for ensuring that all final administrative and scientific obligations are met, including:

Submitting the final technical/progress report to the sponsor.

Assisting ORI and the Division of Finance & Administration in completing all final financial reports.

Complying with all requirements for data archiving, equipment disposition, and invention reporting.

C. Shared Responsibility

While the PI holds primary responsibility, the successful management of sponsored projects is a shared responsibility. The PI is expected to work in partnership with their Department Chair, Dean, the Office of Research & Innovation (ORI), and other KSU administrative units to ensure compliance and proper stewardship of sponsored funds.

REFERENCES AND RELATED MATERIALS:

- Uniform Guidance, 2 CFR Part 200
- KSU Eligibility to Serve as Principal Investigator Regulation
- KSU Financial Conflict of Interest in Research Policy

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